



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/522,331	03/09/2000	Tipin Ben Chang	ARAX-011	3278

7590 07/31/2003  
David B Ritchie  
D'Alessandro & Ritchie  
P O Box 640640  
San Jose, CA 95164-0640

EXAMINER

NGUYEN, MAIKHANH

ART UNIT	PAPER NUMBER
----------	--------------

2176

DATE MAILED: 07/31/2003

5

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/522,331

Applicant(s)

CHANG ET AL.

Examiner

Maikhanh Nguyen

Art Unit

2176

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 09 March 2000.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-17 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-17 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All   b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

**DETAILED ACTION**

1. This action is responsive to communications: original application filed 03/09/2000; IDS filed 08/28/2000.
2. Claims 1-17 are currently pending in this application. Claims 1, 7, 13, 16-17 are independent claim.

**Claim Rejections - 35 USC § 103**

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-17 are rejected under 35 U.S.C. 103(a) as being unpatentable over **Yalcinalp** (U.S. 6,507,857 – filed 03/2000, which is provisional application 60/123,916 – filed 03/1999) in view of **Applicant Admitted Prior Art (APA)**.

**As to independent claim 13**, Yalcinalp teaches a workflow server (*XSLT processor; col.5, lines 7-59*) system including:

- a user interface (*interface; col.5, lines 7-59*);
- a workflow server coupled to the user interface (Fig.2); and

- an XML namespace (*Namespace; col.5, lines 7-59*), the XML namespace containing tags (*tags; col.5, lines 7-59/XSLT tags; col.8, lines 1-33*) which define data tables, perform workflow functions (*will recognize, by examining the document request, an associated style sheet. The XSLT processor 205 then retrieves the appropriate style sheet associated with the document requested in order to process and generate a transform document to present to the user; col.5, lines 38-50*) generate a return XML document to the user interface (*provides XML documents to those clients; col.4, lines 56-57*), the XML namespace further coupled to the workflow server (*Fig.2*).

Yalcinalp, however, is silent on “a database”.

APA teaches a database (*Database; Fig.1*).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to combine the teachings of APA with Yalcinalp because it would have provided the capability for storing and organizing large amounts of disparate information in such a way that a computer program can quickly retrieve pieces of data.

**Dependent claim 14**, Yalcinalp teaches the workflow server further includes an Application Request Server, an XML Execution Engine, and a Workflow Engine, the Application Request Server coupled to the user interface, the XML Execution Engine coupled to the Application Request Server and the XML namespace, and the Workflow Engine coupled to the XML Execution Engine (*Fig.2*).

As to “the workflow Engine couple to the database”, refer to claim 13 above for rejection.

**Dependent claim 15**, Yalcinalp teaches the user interface includes one or more web browser (*a web interface; col.4, lines 61-63*).

**As to independent claim 1**, Yalcinalp teaches a method for a user to interface (*interfaces; col.5, lines 7-17*) with a workflow server, including:

- accepting a user command from the user (*the user 200 may request a document/ the user will generate a document request; col.5, lines 7-50*);
- passing the user command to an XML Execution Engine (*Fig.2*);
- accessing an XML namespace to determine how to execute the command (*Namespaces in the style sheet / method execution in the external component instance; col.5, lines 18-60 & Namespace to the XSLT processor; col.8, lines 1-48*);
- executing the command; returning an XML document back to user, the XML document containing a reference to an XSL file; and displaying the XML document using the XSL file (*the XSLT processor 205 will recognize, by examining the document request, an associated style sheet. The XSLT processor 205 then retrieves the appropriate style sheet associated with the document requested in order to process and generate a transform document to present to the user; col.5, lines 37-51 / when the style sheet is completely processed by the XSLT processor, the XSLT processor sends a transform document ... to the user; col.6, lines 27-42*).

Yalcinalp, however, is silent on “accessing a database”.

APA teaches accessing a database (*the Workflow Engine then retrieves data from the database; Specification, page 2, lines 5-6 & Fig.1*).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to combine the teachings of APA with Yalcinalp because it would have provided the enhanced capability for storing and organizing large amounts of disparate information in such a way that a computer program can quickly retrieve pieces of data.

**As to dependent claim 2**, Yalcinalp teaches the accepting include accepting a user command from the user via a web browser (Fig.2).

**As to dependent claim 3**, Yalcinalp teaches the user command is in the form of a document containing data tags and/or process tags, the process tags indicating one or more processes to be executed and the data tags indicating information (*commands ...e.g., tags; col.5, lines 30-31/ processing of the XSLT tags; col.8, lines 1-33*).

**As to dependent claim 4**, Yalcinalp teaches the data tags and process tags are XML tags found in the XML name space (*col.9, lines 9-56*).

**As to dependent claim 5**, Yalcinalp teaches the XSL file defines a stylesheet for displaying the returned XML document in the web browser (*col.1, lines 49-57*).

**As to dependent claim 6**, Yalcinalp teaches the XML namespace contains tags which define data tables, substitute data retrieved from the database, perform workflow functions, and generate the returned XML document according to logic described in the tags (*col.5, lines 7-50*).

**Independent claim 7**, the rejection of independent claim 1 above is incorporated herein in full. However, claim 7 further recites “process tags”.

Yalcinalp teaches process tags (*processing of the XSLT tags / it processes the XSL language tags; col.8, lines 1-48*).

**Dependent claims 8-12** include the same limitations as in claims 2-6, and are similarly rejected under the same rationale.

**Independent claim 16** is directed to a program storage device for implementing the method of claim 1, and is similarly rejected under the same rationale.

**Independent claim 17** is directed to a program storage device for implementing the method of claim 7, and is similarly rejected under the same rationale.

### **Conclusion**

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Lee et al.	U.S Patent No. 6,480,865	issue dated: Nov. 12, 2002
Nasr et al.	U.S Patent No. 6,438,540	issue dated: Aug. 20, 2002
Britton et al.	U.S Patent No. 6,535,896	issue dated: Mar. 18, 2003
Hyman et al.	U.S Patent No. 6,446,256	issue dated: Sep.3, 2002
Baisley et al.	U.S Patent No. 6,330,569	issue dated: Dec. 11, 2001

Paolo Ciancarine et al., "Managing Complex Documents Over the WWW: A Case Study for XML", IEEE Computer Society, Jul/Aug 1999, Pages 629-638.

Lerina Aversano et al. "Integrating Document and Workflow Management Tools using XML and Web Technologies: a Case Study", Research Centre On Software Technology, Department of Engineering, University of Sannio, 2002, pages 24-33.

Zulkhairi Dahalin et al. "Workflow Interoperability Using Extensible Markup Language (XML)," School of Information Technology, University Utara Malaysia, July 2002, pages 513-516.

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Maikhanh Nguyen whose telephone number is (703) 306-0092. The examiner can normally be reached on Monday - Friday from 9:00am – 5:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Joseph H. Feild can be reached on (703) 305-9792. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 308-5403 for regular communications and (703) 308-5403 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-9600.

**Contact Information:**

Any response to this action should be mailed to:

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Or fax to:

AFTER-FINAL faxes must be signed and sent to (703) 746-7238.  
OFFICIAL faxes must be signed and sent to (703) 746-7239.  
NON OFFICIAL faxes should be sent to (703) 746-7240.


All OFFICIAL faxes will be handled and entered by the docketing personnel. The date of entry will correspond to the actual FAX reception date unless that date is a Saturday, Sunday, or a Federal Holiday within the District of Columbia, in which case the official date of receipt will be the next business day. The application file will be promptly forwarded to the Examiner unless the application file must be sent to another area of the Office, e.g., Finance Division for fee charging, etc.



Art Unit: 2176

Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist). All hand-delivered responses will be handled and entered by the docketing personnel. Please do not hand deliver responses directly to the Examiner.

Maikhanh Nguyen  
July 24, 2003

  
JOSEPH H. FEILD  
PRIMARY EXAMINER